

## Form PTO-1449 (modified)

Atty. Docket No.  
UTC:504/PARSerial No.  
08/726,211

List of Patents and Publications for Applicant's

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## INFORMATION DISCLOSURE STATEMENT

Tormo et al.

Filing Date:  
October 4, 1996Group:  
1805

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U.S. Patent Documents  
See Page 1-2Foreign Patent Documents  
See Page 2Other Art  
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## U.S. Patent Documents

Eam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
AS	A14	4,480,041	10/30/84	Myles et al.	436	508	
	A15	4,721,612	01/26/88	Janoff et al.	424	1.21	
	A16	4,924,624	05/15/90	Suhadolnik et al.	514	44	
	A17	5,030,442	07/09/91	Uster et al.	424	45	
	A18	5,049,388	09/17/91	Knight et al.	424	450	
	A19	5,087,617	02/11/92	Smith	514	44	
	A20	5,098,890	03/24/92	Gewirtz et al.	514	44	
	A21	5,100,662	03/31/92	Bolcsak et al.	424	450	
	A22	5,112,962	05/12/92	Letsinger et al.	536	25.3	
	A23	5,188,897	02/23/93	Suhadolnik et al.	428	402.2	
	A24	5,248,671	09/28/93	Smith	514	44	
	A25	5,264,618	11/23/93	Felgner et al.	560	224	
	A26	5,271,941	12/21/93	Cho-Chung	424	450	
	A27	5,279,957	01/18/94	Gross	435	348	
	A28	5,320,962	06/14/94	Stiles et al.	435	252.3	
	A29	5,324,654	06/28/94	Bredesen	435	376	
	A30	5,560,923	10/01/96	Rahman et al.	424	450	
	A31	5,665,710	09/09/97	Rahman et al.	514	44	
	A32	5,756,122	05/26/98	Thierry et al.	424	450	
	A33	5,817,811	10/06/98	Breipohl et al.	544	264	
	A34	5,855,911	01/05/99	Lopez-Berestein et al.	424	450	
	A35	5,874,553	02/23/99	Peyman et al.	536	22.1	
AS	A36	5,908,635	06/01/99	Thierry	424	450	

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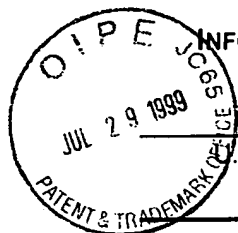
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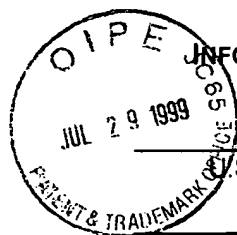
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**Foreign Patent Documents**

Eam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
DS	B6	CA 2,171,589	03/12/96	Canada			
Also See statement of relevance	<del>B7</del>	<del>DE 4110085</del>	<del>03/27/91</del>	<del>Germany</del>			No
DS	B8	WO 89/06977	08/10/89	PCT			
	B9	WO 90/09180	08/23/90	PCT			
	B10	WO 90/10488	09/20/90	PCT			
	B11	WO 91/16901	11/14/91	PCT			
	B12	WO 92/21330	12/10/92	PCT			
	B13	WO 93/07883	04/29/93	PCT			
	B14	WO 93/11245	06/10/93	PCT			
	B15	WO 94/04545	03/03/94	PCT			
	B16	WO 94/05259	03/17/94	PCT			
DS	B17	WO 96/40062	12/19/96	PCT			

**Other Art (Including Author, Title, Date Pertinent Pages, Etc.)**

Eam. Init.	Ref. Des.	Citation
DS	C95	Agris et al., "Inhibition of vesicular stomatitis virus protein synthesis and infection by sequence-specific oligodeoxyribonucleosidemethylphosphonates," <i>Biochemistry</i> , 25:6268-6275, 1986.
	C96	Akhtar et al., "Interactions of antisense DNA oligonucleotide analogs with phospholipid membranes (liposomes)," <i>Nucleic Acids Research</i> , 19(20): 5551-5559, 1991.
DS	C97	Akhtar et al., "Release of antisense oligodeoxynucleotide analogues from liposomes: implications for cellular transport and drug delivery," 128th Meeting of British Pharmaceutical Conference 1991, United Kingdom, September 10-13, 1991, <i>J. Pharm. Pharmacol.</i> , 43 (Suppl.): Abstract 24P, 1991.

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See Page 2Other Art  
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## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Eam. Init.	Ref. Des.	Citation
AS	C98	Arad et al., "Use of reconstituted sendai virus envelopes for fusion-mediated microinjection of double-stranded RNA: Inhibition of protein synthesis in interferon-treated cells," <i>Biochimica et Biophysica Acta</i> , 859:88-94, 1986.
	C99	Bennett et al., "Cationic lipids enhance cellular uptake and activity of phosphorothioate antisense oligonucleotides," <i>Molecular Pharmacology</i> , 41(6):1023-1033, 1992.
	C100	Boiziau et al., "Modified oligonucleotides in rabbit reticulocytes: uptake, stability and antisense properties," <i>Biochimie</i> , 73:1403-1408, 1991.
	C101	Branch, A., "A good antisense molecule is hard to find," <i>TIBS</i> , 23: 45-49, 1998.
	C102	Budker et al., "Cell membranes as barriers for antisense constructions," <i>Antisense Research and Development</i> , 2:177-184, 1992.
	C103	Capaccioli et al., "Cationic lipids improve antisense oligonucleotide uptake and prevent degradation in cultured cells and in human serum," <i>Biochemical and Biophysical Research Communications</i> , 197(2):818-825, 1993.
	C104	Citro et al., "Chemical modification of ligands for cell receptors to introduce foreign compounds into the cells," <i>Colon &amp; Rectum</i> , 37(2):S127-S132, 1994.
	C105	Gerwitz et al., "Facilitating oligonucleotide delivery: helping antisense delivery on its promise," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 93: 3161-3163, 1996.
	C106	Gura, "Antisense has growing pains," <i>Science</i> , 270:575-577, 1995.
	C107	International Search Report from the Patent Cooperation Treaty, March 14, 1997
	C108	Keller et al., "Synthesis and hybridization properties of oligonucleotides containing 2'-O-modified ribonucleotides," <i>Nucleic Acids Research</i> , 21(19):4499-4505, 1993.
	C109	Krieg et al., "Modification of antisense phosphodiester oligodeoxynucleotides by a 5' cholesteryl moiety increases cellular association and improves efficacy," <i>Proc. Natl. Acad. Sci., USA</i> , 90:1048-1052, 1993.
AS	C110	Leonetti et al., "Antibody-targeted liposomes containing oligodeoxyribonucleotides complementary to viral RNA selectively inhibit viral replication," <i>Proc. Natl. Acad. Sci. USA</i> , 87:2448-2451, 1990.

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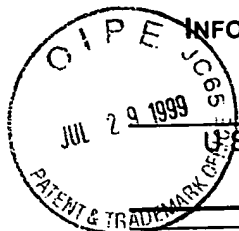
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1805U.S. Patent Documents  
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See Page 2Other Art  
See Page 2-5**Other Art (Including Author, Title, Date Pertinent Pages, Etc.)**

Eam. Init.	Ref. Des.	Citation
	C111	Loke et al., "Characterization of oligonucleotide transport into living cells," <i>Proc. Natl. Acad. Sci. USA</i> , 86:3474-3478, 1989.
	C112	Martiat et al., "Retrovirally transduced antisense sequences stably suppress P210 <sup>BCR-ABL</sup> expression and inhibit the proliferation of BCR/ABL-containing cell lines," <i>Blood</i> , 81(2):502-509, 1993.
	C113	Miller et al., "Gene Transfer and antisense nucleic acid techniques," <i>Parasitology Today</i> , 10(3):92-97, 1994.
	C114	Miller, "Oligonucleoside methylphosphonates as antisense reagents," <i>Bio/Technology</i> , 9:358-362, April 1991.
	C115	Moody et al., "Regiospecific inhibition of DNA duplication by antisense phosphate-methylated oligodeoxynucleotides," <i>Nucleic Acids Research</i> , 17(12):4769-4782, 1989. (Abstract)
	C116	Renneisen et al., "Inhibition of expression of human immunodeficiency virus-1 <i>in vitro</i> by antibody-targeted liposomes containing antisense RNA to the <i>env</i> region," <i>The Journal of Biological Chemistry</i> , 265(27):16337-16342, 1990.
	C117	Rojanasakul, "Antisense oligonucleotide therapeutics: drug delivery and targeting," <i>Advanced Drug Delivery Reviews</i> , 18:115-131, 1996.
	C118	Shea et al., "Synthesis, hybridization properties and antiviral activity of lipid-oligodeoxynucleotide conjugates," <i>Nucleic Acids Research</i> , 18(13):3777-3783, 1990.
	C119	Stein et al., "Antisense oligonucleotides as therapeutic agents - is the bullet really magical?," <i>Science</i> , 261:1004-1012, 1993.
	C120	Stein et al., "Oligodeoxynucleotides as inhibitors of gene expression: A review," <i>Cancer Research</i> , 48(10):2635-2944, 1988.
	C121	Stull et al., "Antigene, ribozyme and aptamer nucleic acid drugs: progress and prospects, pharmaceutical research," 12(4):465-483, 1995.
	C122	Szczylik et al., "Selective inhibition of leukemia cell proliferation by BCR-ABL antisense oligodeoxynucleotides," <i>Science</i> , 253:562-565, 1991.
	C123	Taj et al., "Inhibition of P210 <sup>BCR/ABL</sup> expression in K562 cells by electroporation with an Antisense oligonucleotide," <i>Leukemia and Lymphoma</i> , 3:201-208, 1990.
	C124	Thierry et al., "Liposomal delivery as a new approach to transport antisense oligonucleotides," <i>Gene Regulation, Biology of Antisense RNA and DNA</i> , 1: 147-161, 1992.

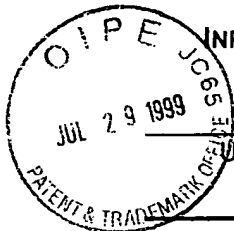
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Filing Date:

October 4, 1996

Group:

1805

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Other Art

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**Other Art (Including Author, Title, Date Pertinent Pages, Etc.)**

Eam. Init.	Ref. Des.	Citation
DS	C125	Tidd et al., "Evaluation of N-ras oncogene anti-sense, sense and nonsense sequence methylphosphonateoligonucleotide analogues," <i>Anti-Cancer Drug Design</i> , 3:117-127, 1988.
	C126	Tidd et al., "Partial protection of oncogene, anti-sense oligodeoxynucleotides against serum nuclease degradation using terminal methylphosphonate groups," <i>Be. J. Cancer</i> , 60:343-350, 1989.
	C127	Tsuchida et al., "Iron-ligand bonding properties of synthetic iron-porphyrin complexes with oxygen transporting ability in aqueous media," <i>J. Chem. Soc. Dalton Transactions</i> , 10:2455-2458, 1987.
	C128	Uhlmann et al., "Antisense oligonucleotides: a new therapeutic principal," <i>Chemical Reviews</i> , 90(4):543-584, 1990.
	C129	Vasanthakumaret al., "Modulation of drug resistance in a daunorubicin resistant subline with oligonucleoside methylphosphonates," <i>Cancer Communications</i> , 1(4):225-232, 1989.
	C130	Wagner, "Gene inhibition using antisense oligodeoxynucleotides," <i>Nature</i> , 372:333-335, 1994.
	C131	Weiss, "Upping the antisense ante scientists bet on profits from reverse genetics," <i>Science News</i> , 139:108-109, 1991.
	C132	Wickstrom, "Antisense DNA therapeutics neutral analogs and their stereochemistry," <i>Raven Press Ser. Mol. Cell. Biol.</i> , 1:119-132, 1992.
	C133	Wu-Pong, "Oligonucleotides: Opportunities for drug therapy and research, pharmaceutical technology," 18:102-114, 1984.
DS	C134	Yeoman et al., "Lipofectin enhances cellular uptake of antisense DNA while inhibiting tumor cell growth," <i>Antisense Research and Development</i> , 2:51-59, 1992.

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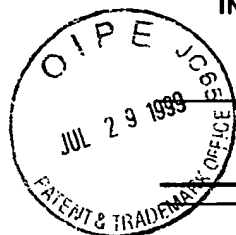
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Form PTO-1449 (modified)		Atty. Docket No. UTXC:504	Serial No. 08/726,211
List of Patents and Publications for Applicant's  INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)		Applicant Gabriel Lopez-Berestein <i>et al.</i>	
		Filing Date: October 4, 1996	Group: 1636
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### U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.

### Foreign Patent Documents


Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
DS	C135	Grever and Chabner, "Cancer Drug Discovery and Development," <i>Cancer Principles &amp; Practice of Oncology</i> , 5 <sup>th</sup> Edition, Lippicott-Raven Publishers, 19:385-394, 1997.
DS	C136	Kaneda <i>et al.</i> , "Increased Expression of DNA cointroduced with nuclear protein in adult rat liver," <i>Science</i> , 242:375-378, 1989.
DS	C137	Kato <i>et al.</i> , "Expression of hepatitis B virus surface antigen in adult rat liver," <i>J. Biol. Chem.</i> , 266:3361-3364, 1991.
DS	C138	Nicolau <i>et al.</i> , "Liposomes as carriers for in vivo gene transfer and expression," <i>Methods in Enzymology</i> , 149:157-176, 1987.
DS	C139	Wong <i>et al.</i> , "Appearance of $\beta$ -lactamase activity in animal cells upon liposome-mediated gene transfer," <i>Gene</i> , 10:87-94, 1980.
DS	C140	Zon, "Pharmaceutical considerations," <i>Oligodeoxynucleotides</i> , Jack S. Cohen, Ed., CRC Press, 11:233-247, 1989.

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Mar Tormo *et al.*

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DS	A36	4,229,360	10/21/80	Schneider <i>et al.</i>	260	403	8/4/78
DS	A37	4,394,448	7/19/83	Szoka, Jr. <i>et al.</i>	435	172	4/24/80
DS	A38	4,469,863	9/4/84	Ts'o <i>et al.</i>	536	27	11/12/80
DS	A39	4,835,263	5/30/89	Nguyen <i>et al.</i>	536	27	12/18/86
DS	A40	4,837,028	6/6/89	Allen	424	450	12/24/86
DS	A41	4,904,582	2/27/90	Tullis	435	6	6/11/87
DS	A42	4,920,016	4/24/90	Allen <i>et al.</i>	424	450	12/18/87
DS	A43	5,094,785	3/10/92	Law <i>et al.</i>	264	4.3	11/22/89
DS	A44	5,279,833	1/18/94	Rose	424	450	4/4/90
DS	A45	5,376,646	12/27/94	Pittrof <i>et al.</i>	514	78	6/16/93
DS	A46	5,378,825	1/3/95	Cook <i>et al.</i>	536	25.34	5/21/91
DS	A47	5,527,538	6/18/96	Baldeschwieler	424	1.21	6/25/93
DS	A48	5,661,018	8/24/97	Ashley <i>et al.</i>	435	172.3	6/6/95
DS	A49	5,696,248	12/9/97	Peyman <i>et al.</i>	536	22.1	6/5/95
DS	A50	5,705,385	1/6/98	Bally <i>et al.</i>	435	320.1	6/7/95
DS	A51	5,750,669	5/12/98	Rosch <i>et al.</i>	536	24.3	8/1/94
DS	A52	5,831,048	11/3/98	Schwichoffer <i>et al.</i>	536	23.1	5/9/94
DS	A53	5,831,066	11/3/98	Reed	536	24.5	6/5/95
DS	A54	5,874,224	2/23/99	Bandman <i>et al.</i>	435	6	3/11/97
DS	A55	5,891,714	4/6/99	Ashley <i>et al.</i>	435	320.1	6/6/95
DS	A56	5,976,567	11/2/99	Wheeler <i>et al.</i>	454	450	6/6/96
DS	A57	6,015,886	1/18/00	Dale <i>et al.</i>	536	23.1	2/5/97
DS	A58	6,034,235	3/7/00	Sugiyama <i>et al.</i>	536	24.5	5/24/96

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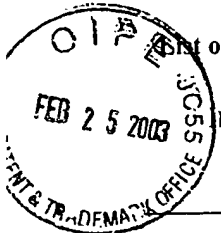
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DS	A59	6,040,181	3/21/00	Reed	435	377	5/18/98
DS	A60	6,096,720	8/1/00	Love <i>et al.</i>	514	44	7/24/96
DS	A61	6,110,490	8/29/00	Thierry	424	450	8/4/95
DS	A62	6,120,794	9/19/00	Liu <i>et al.</i>	424	450	9/26/95
DS	A63	6,120,798	9/19/00	Allen <i>et al.</i>	424	450	6/23/98
DS	A64	6,126,965	10/3/00	Kasid <i>et al.</i>	424	450	10/24/97
DS	A65	6,136,965	10/24/00	Bruice <i>et al.</i>	536	25.3	7/2/99
DS	A66	6,211,162 B1	4/3/01	Dale <i>et al.</i>	514	44	3/31/99
DS	A67	6,211,349 B1	4/3/01	Dale <i>et al.</i>	536	23.1	12/30/98
DS	A68	6,277,832 B1	8/21/01	Sugiyama <i>et al.</i>	514	44	1/20/00
DS	A69	6,277,981 B1	8/21/01	Tu <i>et al.</i>	536	25.3	7/2/98
DS	A70	6,291,668 B1	9/18/01	Ziegler <i>et al.</i>	536	24.5	6/5/98
DS	A71	6,326,487 B1	12/4/01	Peyman <i>et al.</i>	536	24.5	7/17/97

## Foreign Patent Documents

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DS	B18	WO 00/40595	7/13/00	PCT			
DS	B19	WO 02/17852	3/7/02	PCT			
DS	B20	WO 88/04924	7/14/88	PCT			

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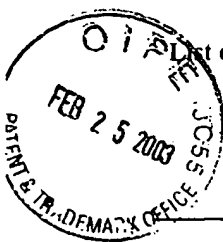
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